

NCOA^{Link}® LIMITED SERVICE PROVIDER LICENSEE PERFORMANCE REQUIREMENTS

1. Purpose

- 1.1 The purpose of these performance requirements is to establish standard criteria of performance with which USPS® requires NCOA^{Link}® Limited Service Providers (“Licensees”) to comply. The NCOA^{Link} Product will enable Licensees to provide the following address list services:
 - New address when a name and old address match the change of address file
 - Detection of undeliverable addresses due to change of address
- 1.2 Licensee’s matching software must adhere to specific USPS requirements regarding the services as well as to the matching rules and specifications herein. Licensees must utilize CASS Certified™ software for ZIP + 4® processing. In addition, Licensee’s NCOA^{Link} system will be tested on a periodic basis.

2. Product Description and Fulfillment

- 2.1 The NCOA^{Link} Product utilizes what is referred to as “hash” tables. The hash tables are secure datasets that will only provide new address information when queried, through use of a software interface, with a specific algorithm of the name and old address from a mailer’s address list which matches the algorithm of the information as it appears on a Change of Address form (PS 3575).
- 2.2 The input algorithm uses a complete name, a 9-digit ZIP + 4 Code and a parsed address to obtain a match to a COA. The NCOA^{Link} Product cannot assign a ZIP + 4 nor will it respond to a non-ZIP + 4 coded address.
- 2.3 Licensee is responsible for obtaining all necessary software. A software interface, which must be written or purchased, will customize the type of input format, provide the desired output, and contain appropriate links with ZIP + 4 matching software.
- 2.4 Weekly updates containing the 18-month NCOA^{Link} Product datasets will be provided via Electronic Product Fulfillment (EPF) to Licensees. Licensees shall install the current weekly NCOA^{Link} database no later than seven(7) business days after it is made available via EPF. Licensees must utilize the current CASS™ ZIP + 4 product with the NCOA^{Link} updates to provide the up-to-date address. Refer to Exhibit A for acceptable use dates of the ZIP + 4 product.
- 2.5 Weekly updates more than 45 days old shall be destroyed using common practice for disposal of sensitive materials, such as permanent file deletion.

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- 2.6 Multiple service offerings are optional for Limited Service Provider Licensees:
- 2.6.1 Additional processes, such as ZIP + 4, DPV®, LACS^{Link}® and Suite^{Link}®, can be run either independently or interactively with NCOA^{Link} processing. The software required for processing multiple services may be bundled as a single integrated software package or provided separately for each individual service. In addition, each product or service may have separate licensing requirements including fees.
 - 2.6.2 Prior to NCOA^{Link} processing, input addresses presented to NCOA^{Link} must be processed through CASS Certified matching software to obtain ZIP + 4 coded, parsed addresses. The ZIP + 4 coded, parsed result and the corresponding name will be used to query NCOA^{Link}. If a LACS^{Link} match is made to the original address during CASS processing, Licensees must query the NCOA^{Link} Product using the LACS^{Link} converted address. ZIP + 4 results must be obtained within the valid window for processing based on the date NCOA^{Link} processing is performed and the chart of valid ZIP + 4 dates provided in Exhibit A.
 - 2.6.3 The ANK^{Link}® option will be available to Limited Service Provider Licensees to enable mailers to make informed choices regarding a specific customer contact. If the data indicates a move, the mailer may choose to suppress the record from their list or attempt to determine the actual new address by engaging the services of an NCOA^{Link} Full Service Provider Licensee.

3. General Requirements

- 3.1 Any Licensee wishing to provide NCOA^{Link} processing must first obtain (either by purchase or developer license) a licensed and certified Interface Product. The Interface must be reviewed, tested, and approved for use at Licensee's site(s) by USPS prior to any actual NCOA^{Link} processing occurring in a production environment to ensure that all license requirements are met. After review and testing, USPS will provide Licensee with written approval (in the form of a License Agreement) of their use of certified NCOA^{Link} system.
- 3.2 Licensee, in order to utilize the NCOA^{Link} Product, must meet all requirements and specifications contained within the License Agreement and the most current version of the Licensee Performance Requirements, unless explicitly allowed, prohibited, or modified by USPS in writing. Copies of these documents, the

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Certification Procedures and any new updates to the documents will be posted on the PostalPro website at: <https://postalpro.usps.com/mailing-and-shipping-services/NCOALink>.

- 3.3 Licensee must incorporate use of the Daily Delete process into all NCOA^{Link} processing. The Daily Delete file is available from the USPS Electronic Product Fulfillment website. Instructions for use of this process must be obtained from the Licensee's software interface supplier.

4. Specific Requirements

- 4.1 Licensees must use USPS certified NCOA^{Link} software to access the NCOA^{Link} Product.
- 4.2 Licensee must use USPS CASS certified Address Matching software parsed, standardized output to query the NCOA^{Link} Product.
- 4.3 Licensee must adhere to the provisions of Standards of Performance as detailed in Section 7.
- 4.4 Licensees must provide all specific reports as required in Section 8.
- 4.5 Licensees will assign each Mailing List a unique ID as defined in Section 8.2.
- 4.6 Licensees must be capable of:
 - a) Responding to all address inquiries from subscribers and the Licensor.
 - b) Updating the system with full file replacement weekly via Electronic Product Fulfillment.
 - c) Updating ZIP + 4 and City State Products monthly.
 - d) Providing customers with Delivery Point Code Information for all input addresses that are ZIP + 4 coded via ZIP + 4 process and all new addresses returned as a result of a match to NCOA^{Link}.
 - e) Offering processing options to clients on basis of file content and process frequency.
 - f) Licensee shall provide USPS with access to any resource used in performance of this license and with the necessary equipment and/or reports to monitor performance at Licensee's facility.
- 4.7 Licensee shall establish a central email address for receipt and disbursement of USPS electronic correspondence within Licensee's organization.

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5. Basic NCOA^{Link} Product Output

- 5.1 Standardized return codes have been established to provide consistency of products and facilitate USPS evaluation of customer data.
- 5.2 For each address submitted by a customer, Licensee's NCOA^{Link} software must be able to return the following output:
- a) Each original unaltered input name and address as it was presented.
 - b) The standardized input address appended with the correct ZIP + 4/DPC, other postal values and any other intelligence flags or footnotes that result from the CASS processing segment.
 - c) For each mailing address for which there is a match to the NCOA^{Link} Product, a standardized new address with 11-digit Delivery Point Barcode (DPBC) and standard return codes as listed in Exhibit B.
 - d) When a match is made, the following elements must be returned: the move effective date, the specific name and address utilized in the query that obtained the match, and the move type. The move type is determined by the Interface based on the specific name inquiry utilized to obtain the match.
 - e) For each mailing address for which there is not a match to the NCOA^{Link} Product, the Interface shall return all elements as appropriate under items a and b as well as any standard return codes as may be appropriate as listed in Exhibit B.
 - f) The urbanization name information, when applicable.
 - g) The carrier route information for new (updated) addresses.
 - h) Processing summary report containing information to identify the specific list and the statistics resulting from the NCOA^{Link} process performed on the list.

6. Quality Standards and Testing Criteria

- 6.1 The NCOA^{Link} Product will be subject to periodic audit and evaluation of the organization's NCOA^{Link} process and its adherence to the conditions of the NCOA^{Link} License Agreement. Please note that the USPS audit file must be processed through the same NCOA^{Link} system, including any and all pre- and/or post-processes, Licensees utilize for customer processing.
- 6.2. The NCOA^{Link} software will provide the necessary output as described in Section 5 utilizing the specific USPS format as described in Exhibit C. Upon notification of the transmission of an audit file, it can be retrieved from Licensee's specific USPS

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account via the internet. Licensee's output file and supporting documentation derived from the NCOA^{Link} process will be posted to the same account.

- 6.3. The audit file will test Licensee's NCOA^{Link} software with a series of known forwardable addresses and known non-forwardable addresses to validate Licensee's ability to query the NCOA^{Link} Product and return the appropriate output and responses.
- 6.4. The audit will also verify the administrative output of the NCOA^{Link} process.
- 6.5. Auditing will be performed once annually or as specified by USPS. If necessary, subsequent audits due to failures must be completed within the annual license period to prevent suspension and/or termination.
- 6.6. Upon validation of the results, Licensee will receive official audit results from USPS.
- 6.7. The system shall provide accurately matched responses for at least 99% of the inquiries where data to support these responses are known to be in the USPS file and shall produce no unexpected matches.
 - a) The percentage of audit file input name and address records that achieve the correct result shall not be less than 99% when compared to USPS expected results.
 - b) The audit file output shall not result in a match that is not expected and would result in returning incorrect information that would eventually cause the misdirection of mail.
 - c) The audit file output must correctly provide all NCOA^{Link} elements with 100% accuracy.
- 6.8. In the event that a problem is identified by USPS that is related to the NCOA^{Link} process, USPS will, at its sole discretion, direct correction of the problem and/or exercise the suspension or termination provisions of the License, as it deems appropriate by the situation.
 - 6.8.1. When directed to correct deficiencies, Licensee will be given 30 days from the date of the notification in which to remedy the deficiencies and retest.
 - 6.8.2. If Licensee fails to remedy the deficiencies within 30 days, a suspension notice will be issued. The suspension notice will direct Licensee to cease all NCOA^{Link} activities during the term of suspension and remedy all deficiencies within 60 days to regain good standing. USPS will also discontinue data fulfillment during the term of suspension.

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- 6.8.3. At the end of the term of suspension, the License Agreement between Licensee and USPS will be terminated if Licensee has not successfully remedied all deficiencies.
- 6.8.4. Any Licensee whose license is terminated, voluntarily or involuntarily, will be ineligible to obtain another NCOA^{Link} License Agreement for a period of five (5) years. In the event of an elective termination, USPS may refund the unused pro-rated portion of the license fee by request from Licensee within thirty (30) days of the effective date of the termination.

7. Standards of Performance

- 7.1. Licensee must, prior to processing any Mailing List through NCOA^{Link}, have on file for each customer submitting a Mailing List, a fully executed Processing Acknowledgment Form (PAF). In addition, the customer must be provided with a copy of the PAF along with the Required Text Document (see the sample PAF in Exhibit D and the Required Text Document in Exhibit E). Original hardcopies of these executed forms shall be maintained by Licensee and made available for Postal Service review for a period of 6 years from date of execution. Licensee will reproduce and provide this form and the Required Text Document to its customers at its own expense annually.
 - 7.1.1. For storage and retrieval purposes, hardcopy PAF documents may be scanned and stored electronically allowing Licensee to store or archive the original completed documents either on-site or off-site in a secure location. Images of scanned documents may be used to satisfy audit requirements. Licensee must be able to retrieve the original documents upon request from USPS.
- 7.2. Licensee must process and return all customer address list files within seven (7) business days of receipt unless a longer period is specified by the customer in writing. (Business days are defined as Monday through Friday.) The fulfillment cycle starts the day the customer file is received by Licensee.
- 7.3. Licensee must maintain a service log, which will include the PAF ID as prescribed in Section 8.2. These service logs will be maintained and be made available for Postal Service review for a period of 5 years. The customers' written requests for longer turnaround times shall be reported on the log, maintained with the hardcopy PAFs, and retained for six (6) years. This service log shall also be kept on a

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computer file and shall be submitted to USPS electronically on a monthly basis (see Exhibit H for format).

- 7.4. Licensee shall determine the necessary staffing level and shall be capable of adjusting the number of supervisory and operational personnel to accommodate variations in the volume of customer requirements. The Postal Service cannot forecast the volume or the schedule of names and addresses received from mailers, nor will the Postal Service attempt to direct mailer inquiries to any particular Licensee.
- 7.5. Licensee shall repair or have repaired all equipment, hardware and/or software deficiencies related to the NCOA^{Link} system within 30 days of identification of said deficiencies.
- 7.6. Since multiple NCOA^{Link} License awards are anticipated, the marketplace will establish a competitive price for the service. However, the intent of the U.S. Postal Service[®] is that this service will be widely available at reasonable cost to customers.
- 7.7. Licensees are permitted to "bundle" services such as CRIS and merge/purge along with NCOA^{Link}. Charges for such add-on services must be separated from NCOA^{Link}, but may be consolidated on one bill provided to Licensee's customer.
- 7.8. Licensee is responsible for providing all necessary customer support for its Services. Licensee's customers requiring technical information must contact a customer service group managed by Licensee. Licensee's customer service group shall be responsible for providing resolution to all inquiries concerning the processing output.
- 7.9. It shall be Licensee's responsibility to ensure that its customers understand the NCOA^{Link} process and output. Each customer wishing to subscribe to NCOA^{Link} must be provided with a product/service brochure by Licensee. This brochure must explain the NCOA^{Link} process in detail. The Postal Service[™] will provide Licensee with the required text that, in addition to Licensee's own marketing material, must be included in, or with, its product/service brochure. Inclusion of the Required Text information in the product/service brochure provided to the customers shall be at Licensee's own expense. This required text may be revised by the Postal Service from time to time without prior notice to Licensees. Required text revisions shall be provided to Licensee customers within 30 days of receipt from the Postal Service. The Required Text document is included in the Licensee Performance

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Requirements as Exhibit F and will be posted on USPS designated web site at:

<https://postalpro.usps.com/mailing-and-shipping-services/NCOALink>.

- 7.9.1. The provision of change-of-address information is controlled by strict name and address matching logic. NCOA^{Link} processing will only provide new address information when queried with a specific algorithm of the name and old address from a mailing list, which matches the information on the NCOA^{Link} Product. It is the responsibility of the Licensee to determine the name order and presentation correctly and to develop a process to handle the names properly.
- 7.9.2. The NCOA^{Link} software should be able to interchange the name order to make a match. It is optional if a Licensee chooses to run a setup job before processing to determine the order or presentation of the name.
- 7.9.3. It is ultimately the responsibility of the List Owner working with the Licensee to determine the name order presentation correctly.
- 7.10. Pursuant to the advertising guidelines of the License Agreement, each approved advertisement must contain the document tracking number assigned by USPS during the review and approval processes. For specific information with regards to the review and approval process, please reference the Advertising Technical Guide on the PostalPro website at:
https://postalpro.usps.com/Advertising_Technical_Guide.
- 7.11. Licensee is responsible for redistributing license related electronic correspondence from USPS to the appropriate personnel within Licensee's organization. Pursuant to Paragraph 4.7, all electronic correspondence will be directed to a central email address within Licensee's organization. The email address must be ncscinfo@<yourcompany.com>. In the event that this address is already assigned for some other purpose, an alternate address must be submitted to USPS for approval. Licensee will subsequently distribute all applicable USPS notifications internally to ensure receipt by the proper staff. Such correspondence will also be sent to the pertinent contacts provided during the application process but in the event of "bounce backs" successful delivery via the central email address will be considered confirmation of receipt.

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8. Reports

8.1. Prior to any NCOA^{Link} processing, and once annually thereafter, Licensee shall obtain a complete and signed copy of the PROCESSING ACKNOWLEDGEMENT FORM (PAF) from each of its customers and for any internal mailing lists processed. The form is intended to be prepared by Licensee who is actually performing the NCOA^{Link} service to ensure that it will contain that company's name and officer's signature. This form is also intended to be signed by the **list owner** whose address list is being processed. A faxed PAF from each location will be acceptable. The USPS does not at this time endorse any particular electronic alternate methods for verification of client identity. Any electronic system that meets these requirements is sufficient. Licensee must decide what methods best suit their business needs and address their business risk while still maintaining the appropriate PAF information. Licensee may implement multiple methods for verification based on the Licensee's business needs. All information from the forms is to be maintained in an electronic format for the purposes of customer validation and reporting. The data and completed forms are to be maintained by Licensee and made available for Postal Service review for a period of six (6) years from the date of execution. Exhibit D contains an example of the PAF and the associated data file layout is part of Exhibit H.

8.1.1. Every PAF distributed must be accompanied by a product information package which includes, at a minimum, the Required Text Document as described in Section 7.9 above.

8.1.2. In the event the USPS, at its sole discretion, determines a Licensee is not diligently verifying the identity and role of all parties involved in the transaction (including, but not limited to, brokers and list owners) when using equivalent electronic methods, the USPS reserves the right to require the Licensee to revert to the traditional paper method of PAF completion. Any method used by a Licensee for verification under this new ruling applies ONLY to PAF collection under the NCOA^{Link} Limited Service License Agreement. There is no implicit or implied application of this ruling to ANY relationship, practice or agreement between the USPS and Licensee. The USPS offers a wide range of services to its customers, and separately sets the appropriate requirements for each of these services, including electronic processes.

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8.1.3. For specific information regarding completion of PAFs, please reference the PAF Guide on the PostalPro website at:
https://postalpro.usps.com/PAF_GUIDE.

8.2. Licensee will assign each NCOA^{Link} customer file, list, or database a unique NCOA^{Link} PAF ID. This ID will be used by the software to verify that the customer has a valid, active PAF on file with Licensee. This ID will also be used to provide a relationship between Licensee's service log and PAF information files. The format of the ID will be an eighteen character alphanumeric field consisting of four sub-parts. Positions 1-4 are alpha and will identify Licensee to USPS and will be assigned to Licensee by USPS. Positions 5-10 are numeric and will identify the business in which the list owner engages by the North American Industry Classification System (NAICS). The list owner may obtain the appropriate NAICS from the internet at www.census.gov/epcd/www/naics.html. Positions 11-12 are numeric and will identify the frequency of NCOA^{Link} processing on an annual basis (value range 01-52). If multiple selects from a master list are processed at different frequencies under the same ID, positions 11-12 must contain "99." Positions 13-18 may be alpha, numeric, or alphanumeric and will identify the Mailing List to Licensee and to USPS; this portion of the ID is assigned by Licensee. This ID will be used to streamline USPS disclosure accounting procedures. Licensee will ensure that each of their customers has a unique and never duplicated PAF ID. The software must not allow duplicate IDs. The ID shall be assigned by Licensee upon execution of the Processing Acknowledgement Form and be used throughout the system as prescribed. The unique and complete 18-character PAF ID will be recorded on the PAF. The form will not be complete and acceptable if this ID is omitted or erroneous.

8.2.1. A single PAF may be completed to cover processing for all lists submitted by the list owner provided that the officer signing the document has the authority to do so for each separate list. If multiple lists are covered by a single PAF, Licensee must record "MULTIPLE" in the space provided for the PAF ID on the pre-printed PAF. When "MULTIPLE" appears as the PAF ID, an itemization of the list names and corresponding PAF IDs assigned to each must be recorded on the back of the PAF.

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- 8.3. NCOA^{Link} service requests submitted on behalf of mail list owners by third parties must be fully disclosed and duly recorded on the appropriate PAF. Each of these third parties must be assigned a unique ID similar to the format of the PAF ID. The third party ID will be a sixteen character alphanumeric field consisting of three sub-parts excluding the 2-digit processing frequency recorded in the PAF ID.
- 8.3.1. Under no circumstances shall a third party Broker, Agent, or List Administrator be considered the Mailing List owner nor have the authority to sign on behalf of the Mailing List owner.
- 8.4. The Combined PAF and Required Text documents (see the sample of the Combined PAF in Exhibit E and the Combined Required Text documents in Exhibit G) for Full and Limited Service Providers are available for Limited Service Providers who broker NCOA^{Link} processing services to Full Service Providers. This PAF is designed for list owners who submit their files for processing primarily to Limited Service Providers, who in turn submit list owners' files to Full Service Providers occasionally for 48-month processing. This PAF may also be used by Limited Service Providers to submit ANK^{Link} files to Full Service Providers for further processing. For more information on the Combined PAF, please refer to the PAF Guide on the PostalPro website at: https://postalpro.usps.com/PAF_GUIDE.
- 8.4.1. The Combined PAF is intended solely for use by NCOA^{Link} Service Providers and shall not be utilized by third-party brokers.
- 8.4.2. To utilize the Combined PAF, Limited Service Providers must have a direct relationship with the List Owner.
- 8.4.3. All list owners' files must be processed by the same Full Service Provider that is listed on the Combined PAF.
- 8.4.4. Foreign-based companies are strictly prohibited from using the Combined PAF; there are no exceptions.
- 8.5. Licensees performing NCOA^{Link} processing for cooperative databases must have a PAF on file for each participant in the cooperative database. The company that hosts the cooperative database must appear as the List Administrator. If the cooperative database host company is also a database participant, the PAF for the host company shall not list the host company as the List Administrator. Licensees are not allowed to process cooperative databases under a single PAF or as an internal file even if the host company is also a participant in the cooperative

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database. Licensees are permitted to process cooperative databases under a single PAF ID.

8.5.1. It is strictly prohibited for Licensees to select new movers from a cooperative database.

8.6. Licensee shall produce monthly performance reports by site and/or system platform. The reports begin on the first day of the month and terminate on the last day of the month. The reports will be maintained and made available for Postal Service review for a period of five (5) years at Licensee's facility. The reports must be submitted within seven (7) calendar days of the end of the month via electronic upload to <https://epfup.usps.gov/up/upload.html>. All reports must be zipped into a single file with the naming convention XXXXMYYY.zip (Platform ID, Month, Year) using a WinZIP version 9.0 compatible format. The electronic report file layouts are provided as Exhibit H. Performance reports include:

8.6.1. Customer Service Log – record of all Mailing Lists processed through the NCOA^{Link} service and the resultant statistics. Requirement: one record per Mailing List processed.

8.6.2. PAF Customer Information Log – record of all customer information contained on the PAF and significant ID and date information of Licensee and applicable third parties. Minimum Requirement: one record per PAF ID appearing in the corresponding Customer Service Log.

8.6.3. Broker/Agent / List Administrator Log – record of all third party List Brokers/Agents and/or List Administrators handling the address lists of their clients that are processed through the NCOA^{Link} service. Minimum Requirement: one record per third party ID appearing in the PAF Customer Information Log.

8.7. The monthly performance reports will be named using a four-part eight-character identification scheme. The first character will identify the report: "C" for Customer Service Log, "P" for PAF Customer Information Log or "B" for Broker/Agent / List Administrator Log. Characters 2-5 will contain Licensee's USPS-assigned four-character platform identification code. The sixth character will identify the month of the report as indicated in the chart below. The last two characters will identify the year of the report by the last two digits of the calendar year.

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Month	Code
January	1
February	2
March	3
April	4
May	5
June	6
July	7
August	8
September	9
October	A
November	B
December	C

8.8. NCOA^{Link} is intended solely for use as a Mailing List update tool. Testing of any kind using NCOA^{Link} is generally discouraged by USPS. However, USPS does acknowledge that certain testing is necessary. In an effort to obtain an accurate statistical reporting regarding addresses updated by NCOA^{Link}, the type of processing must be accurately and consistently recorded. Therefore, the following list of codes must be used to populate the "PROCESSING CATEGORY" field in the service log:

Code	Description	Disposition of Results
EMP TRAIN	File processed as part of employee training.	Results discarded; no update performed or information released.
INT DB TST	Testing involving proprietary Licensee database.	No updates performed; results discarded after analysis.
MKTG TEST	Testing involving external customer lists. No PAF is required; however the company name for which processing was performed must be captured in the CSL in position 1423-1452.	Return information consists of statistics only; COA data is discarded as sensitive data, not returned to customer.
NORMAL	Process mailing list for update prior to mailing.	COA information provided to mailer and/or mailer's representative.
STAGE I	Test of matching performance against USPS self-test file.	Results used for internal program analysis and subsequently discarded.
STAGE II	Test of matching performance scored by USPS.	Output transmitted to USPS for evaluation and discarded when test results finalized.

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SYS TEST	File processed as part of system testing such as loading of USPS file updates.	Results discarded; no updates performed or information released.
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8.9. Licensee must provide a hardcopy report to each customer summarizing the processing of each mailing list processed. The report shall be named NCOA^{Link}® Processing Summary Report. The report may contain any and all information gathered to fulfill the requirements of Section 8.4. At a minimum, the processing summary must contain:

- Licensee Company Name
- Customer PAF ID
- Mailer Company Name
- File/List/Database Name
- Processing Category
- Pre-Processes Performed flag
- Concurrent Processes Performed flag
- Post-Processes Performed flag
- Standard Output Returned flag
- Matching Logic Applied flag
- Data Returned flag
- Class of Mail
- Date NCOA^{Link} Processing Completed
- Date File Returned to Customer
- Total Number of Records Processed
- Total Number of Records Matched – NCOA^{Link}
- Total Number of Records Matched – ANK^{Link}®
- Total Number of Records ZIP + 4[®] Coded
- Total Number of Records DPV[®] Confirmed
- Total Number of Records LACS^{Link}® Matched
- Total Number of Records Suite^{Link}® Matched
- Move Activity Summary by Return Codes – This section consists of 15 data elements providing a Move Activity Summary (Age of Change of Address) for the 9 NCOA^{Link} Match Return Codes.
- The Return Codes are separated into three groupings:
 - Moved, New Address Provided (Return Codes A, 91, & 92)
 - Moved, No New Address Available (Return Codes 01, 02, & 03)
 - Moved, Unable to Provide New Address (Return Codes 05, 14, & 19)
- The Move Effective Dates are separated into five groupings:
 - Sum of Months 00 – 03
 - Sum of Months 04 – 06
 - Sum of Months 07 – 12
 - Sum of Months 13 – 18
 - Sum of Months 19 and older
- Listing of all processes used in obtaining final results

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8.10 The USPS may periodically perform remote PAF audits. During these audits, Licensees must submit PAFs for customers for which processing was performed on specified dates.

8.10.1 Licensees will be given a maximum of five business days from the date of notification to provide the requested PAFs.

8.10.2 If a Licensee's PAF reporting and collection appear to be out of compliance, Licensee must take corrective action. Licensee may be subject to adverse action.

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**Exhibit A
ZIP + 4[®] Product Use Dates**

Per the DMM®, the ZIP + 4 and City/State data must be updated based on the DMM Standards, section 602 3.9.1 – USPS Database Product Cycle. New product releases must be included in address matching systems no later than after the first of the month following the product date. Mailers are expected to update their systems with the latest data files as soon as practicable and need not wait until the “last permissible use” date. Licensees are required to update these files monthly. The following chart is provided to assist in determining which data release is current.

Release date (posted)	Product date	Required Use Date	Expiration Date (Last permissible use date)	Last Permissible Mailing Date
Use of file released in...	(Publish date)	Must begin no later than...	And must end no later than...	
Mid-November	December 1	January 1	February 28/29	March 31
Mid-December	January 1	February 1	March 31	April 30
Mid-January	February 1	March 1	April 30	May 31
Mid-February	March 1	April 1	May 31	June 30
Mid-March	April 1	May 1	June 30	July 31
Mid-April	May 1	June 1	July 31	August 31
Mid-May	June 1	July 1	August 31	September 30
Mid-June	July 1	August 1	September 30	October 31
Mid-July	August 1	September 1	October 31	November 30
Mid-August	September 1	October 1	November 30	December 31
Mid-September	October 1	November 1	December 31	January 31
Mid-October	November 1	December 1	January 31	February 28/29

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**Exhibit B
NCOA^{Link}® Return Code Descriptions**

Code = Return Code

Address = "Y" = New Address provided

"N" = New Address not provided

Description = Explanation of Return code

How = "D" = Derived by data – returned in lieu of 11 digit

"S" = Derived by software

Code	Description	Address	How
A	COA Match - The input record matched to a COA record. A new address could be furnished.	Y	D
00	No Match - The input record COULD NOT BE matched to a COA record. A new address could not be furnished.	N	D
01	Found COA: Foreign Move – The input record matched to a COA record but the new address was outside USPS delivery area.	N	D
02	Found COA: Moved, Left No Address (MLNA) – The input record matched to a COA record, but the new address was not provided to USPS.	N	D
03	Found COA: Box Closed No Order (BCNO) – The Input record matched to a COA record containing an old address of PO BOX, which has been closed without a forwarding address provided.	N	D
04	Cannot match COA: Street Address with Secondary – In the STANDARD mode utilizing Family matching logic the input record was a potential match to a family type COA record with an old address that contained secondary information. The input record does not contain secondary information. The record is a ZIP + 4® street level match. This address match situation requires individual name matching logic to obtain a match and individual names do not match.	N	D
05	Found COA: New 11-digit DPBC is Ambiguous – The input record matched to a COA record. The new address on the COA record could not be converted to a deliverable address because the DPBC represents more than one delivery point.	N	D
06	Cannot Match COA: Conflicting Directions: Middle Name Related –There is more than one COA record for the match algorithm and the middle names or initials on the COAs are different. Therefore, a single match result could not be determined.	N	D
07	Cannot Match COA: Conflicting Directions: Gender Related –There is more than one COA record for the match algorithm and the genders of the names on the COAs are different. Therefore, a single match result could not be determined.	N	D
08	Cannot Match COA: Other Conflicting Instructions – The input record was a potential match to two COA records. The two records were compared and due to differences in the new addresses, a match could not be made.	N	D
09	Cannot Match COA: High-rise Default – The input record was a potential match to a family COA record from a High-rise address ZIP + 4 coded to the building default. This address match situation requires individual name matching logic to obtain a match and individual names do not match.	N	D
10	Cannot Match COA: Rural Default – The input record was a potential match to a family COA record from a Rural Route or Highway Contract Route address ZIP + 4 coded to the route default. This address situation requires individual name matching logic to obtain a match and individual names do not match.	N	D
11	Cannot Match COA: Individual Match: Insufficient COA Name for Match – There is a COA record with the same surname and address but there is insufficient first/middle name information on the COA record to produce a match using individual matching logic.	N	D

**NCOA^{Link}® LIMITED SERVICE PROVIDER
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Exhibit B – NCOA^{Link} Return Code Descriptions – continued

Code	Description	Address	How
12	Cannot Match COA: Middle Name Test Failed – The input record was a potential match to a COA record. A match cannot be made because the input name contains a conflict with the middle name or initials on the COA record.	N	S
13	Cannot Match COA: Gender Test Failed – The input record was a potential match to a COA record. A match cannot be made because the gender of the name on the input record conflicts with the gender of the name on the COA record.	N	S
14	Found COA: New Address Would Not Convert at Run Time – The input record matched to a COA record. The new address could not be converted to a deliverable address.	N	S
15	Cannot Match COA: Individual Name Insufficient – The input record was a potential match to a COA record that contains a first initial and middle initial/name [ex. C M Smith or C Mary Smith]. A match cannot be made because the input middle initial/name is missing or does not equal the middle initial/name on the COA.	N	S
16	Cannot Match COA: Secondary Number Discrepancy – The input record was a potential match to a street level COA record. However, a match is prohibited based on one of the following reasons: 1) There is conflicting secondary information on the input and COA record; 2) the input record contained secondary information and matched to a family record that does not contain secondary information. In item 2, this address match situation requires individual name matching logic to obtain a COA match and individual names do not match.	N	S
17	Cannot Match COA: Other Insufficient Name – The input record was a potential match to a COA record that contains a full first name and full middle name. The input middle initial/name is missing or different from the middle name on the COA. A match cannot be made because the first name on the COA was truncated (drop-n flag) and the middle names must be equal in order to make this match.	N	S
18	Cannot Match COA: General Delivery – The input record was a potential match to a COA record from a General Delivery address. This address situation requires individual name matching logic to obtain a match and individual names do not match.	N	D
19	Found COA: New Address not ZIP + 4 coded or New address primary number not DPV confirmable – There is a change of address on file but the new address cannot be ZIP + 4 coded and therefore there is no 11-digit DPBC to store or return, or the new address primary number cannot be confirmed on DPV [®] .	N	D
20	Cannot Match COA: Conflicting Directions after re-chaining – Multiple COA records were potential matches for the input record. The COA records contained different new addresses and a single match result could not be determined.	N	D
66	Daily Delete – The input record matched to a business, individual or family type COA record with an old address that is present in the daily delete file. The presence of an address in the daily delete file means that a COA with this address is pending deletion from the COA master file and that <u>no</u> mail may be forwarded from this address.	N	S
91	COA Match: Secondary Number dropped from COA – The input record matched to a COA record. The COA record had a secondary number and the input address did not.	Y	S
92	COA Match: Secondary Number or Single Trailing Alpha Dropped from input address – The input record matched to a COA record and either: <ul style="list-style-type: none"> a. The input address had a secondary number and the COA record did not. A second attempt is made by dropping the secondary number and trailing alpha or fractions from the original input address (is present). (OR) b. The record is a ZIP+4 street level match and the single trailing alpha was dropped to make a ZIP + 4 match (address matching returns a TA footnote). <p>Please Note: This return code is derived from individual and business matching logic only. If this return code is achieved, no other matching attempts are permitted regardless of the PROCESSING mode.</p>	Y	S

**NCOA^{Link}® LIMITED SERVICE PROVIDER
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Exhibit B – NCOA^{Link} Return Code Descriptions – continued

Other Return Code Descriptions

Code	Description	Process
AA	Input Address ZIP+4™ match	ZIP + 4
A1	Input Address ZIP+4 not matched	ZIP + 4
M1	Input Address Primary Number Missing	ZIP + 4
M3	Input Address Primary Number Invalid	ZIP + 4
P1	Input Address Missing PO, RR, or HC Box number	ZIP + 4
P3	Input Address PO, RR, or HC Box number invalid	ZIP + 4
PB	Input Address Matched to a PBSA Record (Carrier Route C770 through C779)	DPV
BB	Input Address DPV® matched (all components)	DPV
RR	Input Address DPV matched to CMRA	DPV
CC	Input Address DPV Primary Number match, Secondary Number not Matched (secondary number present but is not DPV confirmed)	DPV
N1	Input Address DPV Primary Number match, High-rise Address Missing Secondary Number	DPV
R1	Input Address DPV matched to CMRA but PMB Number not Present	DPV
R7	Input Address Matched to a Record in Carrier Route R777	DPV
F1	Input Address matched to a Military Address	DPV
G1	Input Address matched to a General Delivery Address	DPV
U1	Input Address matched to a Unique ZIP Code	DPV

*Note: These codes are all generated during the DPV process. The Process indicator of “ZIP + 4” or “DPV” denotes from which portion of DPV processing the return codes was generated.

**NCOA^{Link}® LIMITED SERVICE PROVIDER
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**Exhibit C
Audit/Test File Layouts**

TEST CLIENT INPUT FILE HEADER RECORD			
RECORD FROM	POSITION TO	FIELD NAME	LENGTH
1	8	NCSC AUDIT FILE CREATED DATE(YYYMMDD)	8
9	14	NCSC AUDIT FILE CREATED TIME(HHMMSS)	6
15	18	NCSC AUDIT FILE NUMBER	4
19	26	NCSC NCOA ^{Link} ® RELEASE DATE	8
27	34	NCSC ZIP+4™ RELEASE DATE	8
35	42	NCSC DPV® RELEASE DATE	8
43	43	NCSC TYPE (Audit, Certification, Stage)	1
44	297	FILLER	254
298	298	RECORD TYPE (Header/Detail) (H,D)	1
299	300	CARRIAGE RETURN LINE FEED	2

**NCOA^{Link}® LIMITED SERVICE PROVIDER
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TEST CLIENT INPUT FILE DETAIL RECORD			
RECORD FROM	POSITION TO	FIELD NAME	LENGTH
1	28	INPUT CUSTOMER KEY	28
29	29	INPUT NAME PARSED (Y,N)	1
30	95	INPUT CUSTOMER NAME	66
	NOTE:	The information found in the INPUT CUSTOMER NAME will be fixed length. The data contained within the field may be presented as a single field or it may be parsed. If the name is a business, then the name will start in the first position.	
30	35	INPUT PREFIX TITLES	6
36	50	INPUT CUSTOMER FIRST NAME	15
51	65	INPUT CUSTOMER MIDDLE NAME	15
66	85	INPUT CUSTOMER LAST NAME	20
86	91	INPUT SUFFIX TITLES	6
92	95	FILLER	4
96	96	INPUT ADDRESS PARSED (Y,N)	1
97	124	INPUT CUSTOMER URBANIZATION NAME	28
125	191	INPUT CUSTOMER ADDRESS	67
	NOTE:	The information found in the INPUT CUSTOMER ADDRESS will be fixed length. The data contained within the field may be presented as a single field or it may be parsed.	
125	134	INPUT PARSED PRIMARY NUMBER	10
135	136	INPUT PARSED PRE-DIRECTIONAL	2
137	164	INPUT PARSED PRIMARY NAME	28
165	168	INPUT PARSED SUFFIX	4
169	170	INPUT PARSED POST-DIRECTIONAL	2
171	174	INPUT PARSED UNIT DESIGNATOR	4
175	182	INPUT PARSED SECONDARY NUMBER	8
183	191	FILLER	9
192	192	INPUT LAST LINE PARSED (Y,N)	1
193	234	CUSTOMER LAST LINE	42
	NOTE:	The information found in the INPUT CUSTOMER LAST LINE will be fixed length. The data contained within the field may be presented as a single field or it may be parsed.	
193	220	INPUT CITY NAME	28
221	222	INPUT STATE	2
223	227	INPUT FIVE DIGIT ZIP	5
228	231	INPUT ZIP+4 ADDON	4
232	234	FILLER	3
235	297	FILLER	63
298	298	RECORD TYPE (Header/Detail) (H,D)	1
299	300	CARRIAGE RETURN LINE FEED	2

**NCOA^{Link}® LIMITED SERVICE PROVIDER
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TEST CLIENT OUTPUT FILE HEADER RECORD			
RECORD FROM	POSITION TO	FIELD NAME	LENGTH
1	8	NCSC AUDIT FILE CREATED DATE(YYYYMMDD)	8
9	14	NCSC AUDIT FILE CREATED TIME(HHMMSS)	6
15	18	NCSC AUDIT FILE NUMBER	4
19	26	NCSC NCOA ^{Link} ® RELEASE DATE	8
27	34	NCSC ZIP+4™ RELEASE DATE	8
35	42	NCSC DPV® RELEASE DATE	8
43	43	NCSC TYPE (Audit, Certification, Stage)	1
44	298	FILLER	255
299	306	OUTPUT AUDIT FILE CREATED DATE(YYYYMMDD)	8
307	312	OUTPUT AUDIT FILE CREATED TIME(HHMMSS)	6
313	320	PROCESSED AGAINST NCOA ^{Link} RELEASE DATE	8
321	328	PROCESSED AGAINST ZIP+4 RELEASE DATE	8
329	336	PROCESSED AGAINST DPV RELEASE DATE	8
337	340	PROCESSED ON PLATFORM ID	4
341	997	FILLER	657
998	998	RECORD TYPE (Header/Detail) (H,D)	1
999	1000	CARRIAGE RETURN LINE FEED	2

**NCOA^{Link}® LIMITED SERVICE PROVIDER
LICENSEE PERFORMANCE REQUIREMENTS**

TEST CLIENT OUTPUT FILE DETAIL RECORD (Page 1 of 2)			
RECORD FROM	POSITION TO	FIELD NAME	LENGTH
1	28	INPUT CUSTOMER KEY	28
29	29	INPUT NAME PARSED (Y,N)	1
30	95	INPUT CUSTOMER NAME	66
	NOTE:	The information found in the INPUT CUSTOMER NAME will be fixed length. The data contained within the field may be presented as a single field or it may be parsed. If the name is a business, then the name will start in the first position.	
30	35	INPUT PREFIX TITLES	6
36	50	INPUT CUSTOMER FIRST NAME	15
51	65	INPUT CUSTOMER MIDDLE NAME	15
66	85	INPUT CUSTOMER LAST NAME	20
86	91	INPUT SUFFIX TITLES	6
92	95	FILLER	4
96	96	INPUT ADDRESS PARSED (Y,N)	1
97	124	INPUT CUSTOMER URBANIZATION NAME	28
125	191	INPUT CUSTOMER ADDRESS	67
	NOTE:	The information found in the INPUT CUSTOMER ADDRESS will be fixed length. The data contained within the field may be presented as a single field or it may be parsed.	
125	134	INPUT PARSED PRIMARY NUMBER	10
135	136	INPUT PARSED PRE-DIRECTIONAL	2
137	164	INPUT PARSED PRIMARY NAME	28
165	168	INPUT PARSED SUFFIX	4
169	170	INPUT PARSED POST-DIRECTIONAL	2
171	174	INPUT PARSED UNIT DESIGNATOR	4
175	182	INPUT PARSED SECONDARY NUMBER	8
183	191	FILLER	9
192	192	INPUT LAST LINE PARSED (Y,N)	1
193	234	CUSTOMER LAST LINE	42
	NOTE:	The information found in the INPUT CUSTOMER LAST LINE will be fixed length. The data contained within the field may be presented as a single field or it may be parsed.	
193	220	INPUT CITY NAME	28
221	222	INPUT STATE	2
223	227	INPUT FIVE DIGIT ZIP	5
228	231	INPUT ZIP+4 ADDON	4
232	234	FILLER	3
235	298	FILLER	64
	NOTE:	The following fields reflect the results of input name after the utilization of a name parser. This is the final parsed name information utilized in the process which was responsible for the final result. If the name is a business, then the name will start in the first position. If no match (return code 00) then this field will be blank.	
299	304	QUERY PREFIX TITLE	6
305	319	QUERY CUSTOMER FIRST NAME	15
320	334	QUERY CUSTOMER MIDDLE NAME	15
335	354	QUERY CUSTOMER LAST NAME	20
355	360	QUERY SUFFIX TITLE	6

**NCOA^{Link}® LIMITED SERVICE PROVIDER
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TEST CLIENT OUTPUT FILE DETAIL RECORD (Page 2 of 2)			
RECORD FROM	POSITION TO	FIELD NAME	LENGTH
	NOTE:	The following fields reflect the results of the input address after the utilization of a certified CASS ZIP+4 system. This is the final address information that was utilized in the process which was responsible for the final result.	
361	388	QUERY PARSED URBANIZATION NAME	28
389	398	QUERY PARSED PRIMARY NUMBER	10
399	400	QUERY PARSED PRE-DIRECTIONAL	2
401	428	QUERY PARSED PRIMARY NAME	28
429	432	QUERY PARSED SUFFIX	4
433	434	QUERY PARSED POST-DIRECTIONAL	2
435	438	QUERY PARSED UNIT DESIGNATOR	4
439	446	QUERY PARSED SECONDARY NUMBER	08
447	474	QUERY PARSED CITY NAME	28
475	476	QUERY PARSED STATE	2
477	481	QUERY FIVE DIGIT ZIP	5
482	485	QUERY ZIP+4 ADDON	4
486	513	RESULT PARSED URBANIZATION NAME	28
514	523	RESULT PARSED PRIMARY NUMBER	10
524	525	RESULT PARSED PRE-DIRECTIONAL	2
526	553	RESULT PARSED PRIMARY NAME	28
554	557	RESULT PARSED SUFFIX	4
558	559	RESULT PARSED POST-DIRECTIONAL	2
560	563	RESULT PARSED UNIT DESIGNATOR	4
564	571	RESULT PARSED SECONDARY NUMBER	08
572	599	RESULT PARSED CITY NAME	28
600	601	RESULT PARSED STATE	2
602	606	RESULT FIVE DIGIT ZIP	5
607	610	RESULT ZIP+4 ADDON	4
611	613	RESULT DBPC (including check digit)	3
614	617	RESULT CARRIER RTE	4
618	618	*RESULT DROP FLAG	1
619	619	*RESULT DROP N FLAG	1
620	625	RESULT MOVE EFFECTIVE DATE	6
626	627	*RESULT MIDDLE NAME/Initials(returned from NCOA/Link)	2
628	628	*RESULT GENDER (returned from NCOA/Link)	1
629	636	*RESULT HINT BYTE (after expansion)	8
637	638	RESULT NCOA LINK FOOTNOTE	2
639	640	RESULT ZIP+4 FOOTNOTE	2
641	642	RESULT DPV FOOTNOTE	2
643	658	HEX VALUE OF THE EMDP (from input address)	16
659	698	HEX VALUE OF THE SHA OF EMPD (from input address)	40
699	714	HEX VALUE OF THE FIRST 8 CHARACTERS OF 48 BYTE OBJECT	16
715	729	FIRST NAME OF THE 48 BYTE OBJECT	15
730	749	LAST NAME OF THE 48 BYTE OBJECT	20
750	754	SUFFIX NAME OF THE 48 BYTE OBJECT	5
755	794	HEX VALUE OF THE SHA OF 48 BYTE OBJECT	40
795	810	HEX VALUE OF THE DATA RETRIEVED (before reorder)	16
811	827	DECIMAL VALUE OF THE 17 DIGIT RESULT VALUE	17
828	828	RESULT MOVE TYPE (Family, Individual, Business)(F,I,B)	1
829	836	OPTIONAL – INTERMEDIATE RETURN CODES	8
837	838	ANK ^{Link} RETURN CODE (77)	2
839	840	FUTURE RETURN CODE	2
841	997	FILLER	157
998	998	RECORD TYPE (Header/Detail) (H,D)	1
999	1000	CARRIAGE RETURN LINE FEED	2

***The following fields of returned data used for analysis must not be returned to the customer: result drop flag, result drop n flag, result middle name, result gender and result hint byte.**



NCOALink® PROCESSING ACKNOWLEDGEMENT FORM

The collection of information on this Processing Acknowledgement Form (PAF) is required by the Privacy Act of 1974. The United States Postal Service® (USPS®) requires that each NCOALink® Licensee have a completed NCOALink PAF for each of their NCOALink customers prior to providing the NCOALink service. The Licensee is also required by the USPS to retain a copy of the completed form for each of its customers and to obtain an updated PAF from each of its customers at minimum once per year. Any signature upon this PAF shall be considered valid for all purposes and have the same effect whether it is an ink-signed hardcopy document or equivalent alternative.

LIST OWNER

I, the undersigned, an authorized representative of:

Company Name

Address

Urbanization

City

State

ZIP+4

Telephone Number

NAICS

USPS Mailer ID
(optional)

CRID
(optional)

E-mail Address
(optional)

Parent Company Name

Marketing or "DBA" Company Name or Primary Affiliate Company Name
(if applicable)

Company Website (optional)

Name (Please print)

Title

Signature

Date

do hereby acknowledge that I have received and reviewed the NCOALink Information Package supplied to me by _____, an NCOALink Service Provider. I also understand that the sole purpose of the NCOALink service is to provide a mailing list correction service for lists that will be used for preparation of mailings. Furthermore, I understand that NCOALink may not be used to create or maintain new movers' lists.

LICENSEE

Business Name (Please print)

Name (Please print)

Title

Signature

Date

Telephone Number

Fax Number

BROKER/AGENT **LIST ADMINISTRATOR** (Check applicable box)

Business Name (Please print)

Address

Urbanization

City/State/ZIP+4

Name (Please print)

Title

Signature

Date

Telephone Number

NAICS

Company Website (optional)

For Licensee Use Only

PAF ID:

Broker/Agent ID:

List Administrator ID:



COMBINED NCOA^{Link}® PROCESSING ACKNOWLEDGEMENT FORM

The collection of information on this Processing Acknowledgement Form (PAF) is required by the Privacy Act of 1974. The United States Postal Service® (USPS®) requires that each NCOA^{Link} Licensee have a completed NCOA^{Link} PAF for each of their NCOA^{Link} customers prior to providing the NCOA^{Link} service. The Licensee is also required by the USPS to retain a copy of the completed form for each of its customers and to obtain an updated PAF from each of its customers at minimum once per year. Any signature upon this PAF shall be considered valid for all purposes and have the same effect whether it is an ink-signed original or a photocopy or facsimile representation of the original document.

LIST OWNER

I, the undersigned, an authorized representative of:

Company Name

Address

Urbanization

City

State

ZIP+4

Telephone Number

NAICS

USPS Mailer ID
(optional)

CRID
(optional)

E-mail Address
(optional)

Parent Company Name

Marketing or "DBA" Company Name or Primary Affiliate Company Name
(if applicable)

Company Website (optional)

Name (Please print)

Title

Signature

Date

do hereby acknowledge that I have received and reviewed the NCOA^{Link} Information Package supplied to me by _____, an NCOA^{Link} Full Service Provider Licensee and _____, an NCOA^{Link} Limited Service Provider Licensee. I further understand that through an agreement with the NCOA^{Link} Limited Service Provider NCOA^{Link} services may be provided by either of these Licensees. I also understand that the sole purpose of the NCOA^{Link} service is to provide a mailing list correction service for lists that will be used for preparation of mailings. Furthermore, I understand that NCOA^{Link} may not be used to create or maintain new movers' lists.

FULL SERVICE NCOA^{Link} LICENSEE

Business Name (Please print)

Name (Please print)

Title

Signature

Date

Telephone Number

Fax Number

LIMITED SERVICE NCOA^{Link} LICENSEE AND BROKER LIST ADMINISTRATOR TO FULL SERVICE NCOA^{Link}

Business Name (Please print)

Name (Please print)

Title

Signature

Date

Telephone Number

NAICS

Company Website (optional)

For Licensee Use Only

FSP PAF ID:

LSP PAF ID:

FSP Broker/Agent ID:

FSP List Administrator ID:

**NCOA^{Link}® LIMITED SERVICE PROVIDER
LICENSEE PERFORMANCE REQUIREMENTS**

**Exhibit F
Service Provider Required Text Document**

<<Service Provider>> is a non-exclusive Licensee of the USPS® (United States Postal Service®) to provide <<Full and/or Limited>> Service NCOA^{Link}® processing.

It is important to note that not all Service Providers can offer the same level of service. Data quantity differs based on license level. Full Service Providers receive the full 48 month data set while Limited Service Providers receive an 18 month data set. All data fulfillments to Service Providers are provided weekly under direct license from the USPS.

The full NCOA^{Link} file is a consolidated file of move information that on average contains approximately 160 million permanent changes-of-address (COAs) filed with the United States Postal Service (USPS). These COAs are retained on the file for a four-year period from the move-effective date and the file is updated weekly.

Before being added to the NCOA^{Link} file, the **Old** address supplied by the Postal customer must be ZIP + 4® coded. The **New** addresses must be ZIP + 4 coded and validated using the USPS' proprietary database of actual delivery points. (NOTE: The delivery point database does not include NAMES or COA information.) Each delivery point confirmed **New** address is included on the NCOA^{Link} file. If unable to validate the **New** address, the NCOA^{Link} process will indicate that a move exists but will not provide the undeliverable **New** address.

New address information is provided only when a match to the input name and address is attained. The typical profile of the **New** address information contained on the NCOA^{Link} file is as follows:

- 89.68% Forwardable moves containing delivery point confirmed **New** addresses –
New address provided
- 1.19% Moves containing unconfirmed **New** addresses – **New** address not provided
- 7.44% Moved, left no address
- 1.63% PO Box Closed
- 0.06% Foreign moves

When possible, postal customers who move multiple times within the NCOA^{Link} time period are “linked” or “chained” to ensure that the latest address is furnished when an NCOA^{Link} match is attained. This is not always possible if subsequent COAs are not filed in exactly the same manner as a COA filed previously (e.g., name spelling differences or conflicting secondary information).

The provision of change of address information is controlled by strict name and address matching logic. NCOA^{Link} processing will only provide new address information when queried with a specific algorithm of the name and input address from a mailers address list which matches the information on the NCOA^{Link} Product. Data contained in and information returned

NCOA^{Link}® LIMITED SERVICE PROVIDER LICENSEE PERFORMANCE REQUIREMENTS

by NCOA^{Link} is determined by the name and move type (Business, Individual, or Family) indicated on a Postal customer's Change of Address form.

The data contained within the NCOA^{Link} Product is comprised of approximately 40% family moves, 54% individual moves, and 6% business moves.

All matches made to the NCOA^{Link} file require a ZIP + 4 coded, parsed input address.

The five types of processing modes are Standard (S); Business and Individual (C); Individual (I); Business (B); and Residential (R).

Standard Processing Mode (S)

- Standard Processing Mode requires inquiries in the following order:
 - Business – Match on business name.
 - Individual – Match on first name, middle name, surname and title required. Gender is checked and nickname possibilities are considered.
 - Family – Match on surname only.
- **Under no circumstances shall there be a “Family” match only option.**

Business and Individual Processing Mode (C)

- The NCOA^{Link} customer may choose to omit all “Family” match inquiries and allow only “Individual” and “Business” matches to be acceptable. This matching process is also known as C Processing Mode.

Individual Processing Mode (I)

- The NCOA^{Link} customer may also choose to omit “Business” match inquiries when processing individual names for mailing lists that contain no business addresses.

Business Processing Mode (B)

- The NCOA^{Link} customer may choose to process for only “Business” matches when processing a “Business-to-Business” mailing list which contains no residential (Individual or Family) addresses.

Residential Processing Mode (R)

- The NCOA^{Link} customer may choose to omit “Business” match inquiries and allow only “Individual” and “Family” matches to be acceptable under Residential Processing Mode. This matching process is also known as R Processing Mode.

The USPS has opted to remove soundex from the matching logic process. Consequently, the USPS has established a process called the “Rules Table.” This process will produce matches that otherwise would not be possible, i.e. JOHNY and JOHNNY, without the risks associated with soundex.

All nickname possibilities are derived from a standard USPS nickname list. In considering alternate presentations of an input name, only reasonable derivatives of the original input name are acceptable. If an input name and address do not match to NCOA^{Link} and alternative queries are attempted, any variations which obtain NCOA^{Link} matches will be provided to the NCOA^{Link} customer for analysis.

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When a match or a near match of an input name and address to NCOA^{Link} is identified, a standard NCOA^{Link} return code is provided indicating the type of match made or reason that a match could not be made.

The standard output of a USPS NCOA^{Link} process is:

- a) Each original unaltered input name and address as it was presented.
- b) The standardized input address appended with the correct ZIP + 4/DPC, other postal values and any other intelligence flags or footnotes that result from the CASS™ processing segment.
- c) For each mailing address for which there is a match to the NCOA^{Link} Product, a standardized new address with 11-digit Delivery Point Barcode (DPBC) and standard return codes.
- d) When a match is made, the following elements must be returned: the move effective date, the specific name and address utilized in the query that obtained the match, and the move type. The move type is determined by the Interface based on the specific name inquiry utilized to obtain the match.
- e) For each mailing address for which there is not a match to the NCOA^{Link} Product, the Interface shall return all elements as appropriate under items a and b as well as any standard return codes as may be appropriate.
- f) The urbanization name information, when applicable.
- g) The carrier route information for new (updated) addresses.
- h) DPV^{Link} results for the input address, if requested.
- i) LACS^{Link} results, if requested.
- j) Suite^{Link} results, if requested.
- k) Processing summary report containing information to identify the specific list and the statistics resulting from the NCOA^{Link} process performed on the list.

The presentation of name order is established using a pre-process before querying the NCOA^{Link} database. However, there are no restrictions on using a process to interchange the name order to yield the best possible results using the NCOA^{Link} database. It is ultimately the responsibility of the Mailer Owner working with the Licensee to determine the name order presentation correctly.

Although every record must be returned, the format of the records returned by a Service Provider to their clients is determined by a separate agreement between the processor and the customer.

NCOA^{Link} processing has the potential to reduce returned mail, yet the USPS does not make any guarantees, express or implied, on the reduction of such mail. Thus any costs associated with returned mail are the Licensees' and/or their customers' sole responsibility.

An NCOA^{Link} customer with questions about the specific results returned from an NCOA^{Link} process must first contact the processor for explanation and resolution.

Prior to the processing of NCOA^{Link} data, every customer must have completed and returned to their NCOA^{Link} Licensee the "NCOA^{Link} PROCESSING ACKNOWLEDGEMENT FORM" provided to them by their Licensee or Agent. It is inappropriate to misrepresent any of the information on the form. Punitive action will be taken by the USPS if the customer, agent or licensee is found to have knowingly supplied false information. Depending on the severity of the offense, actions may include litigious or even criminal charges being brought against the offender.

NCOA^{Link}® LIMITED SERVICE PROVIDER LICENSEE PERFORMANCE REQUIREMENTS

The ANK^{Link} option is available through Limited Service Provider Licensees to enable mailers to make informed choices regarding a specific customer contact. If the data indicates a move, the mailer may choose to suppress the record from their list or attempt to determine the actual new address by engaging the services of an NCOA^{Link} Full Service Provider (FSP) Licensee.

Mailers choosing to engage the services of an FSP Licensee may submit only those ANK^{Link} matches for which they need additional processing provided that:

- 1) The mailer informs the FSP Licensee that the list is derived from a prior ANK^{Link} process.
- 2) The list submitted to the FSP for processing meets the mailing list requirement of at least 100 unique names and addresses.
- 3) The final results are incorporated back into the original list.
- 4) The records separated for processing are not used to create a derivative product.

The following trademarks are owned by the United States Postal Service®: ANK^{Link}, CASS, DPV, LACS^{Link}, NCOA^{Link}, Suite^{Link}, United States Postal Service, USPS and ZIP + 4.

**NCOA^{Link}® LIMITED SERVICE PROVIDER
LICENSEE PERFORMANCE REQUIREMENTS**

**Exhibit G
Full and Limited Service Provider
Required Text Document
For Combined PAF Use Only**

<<Full Service Provider>> is a non-exclusive Licensee of the USPS® (United States Postal Service®) to provide Full Service NCOA^{Link} processing, ZIP + 4® Coding, DPV® LACS^{Link}® and Suite^{Link}®. <<Limited Service Provider>> is a non-exclusive Licensee of the USPS to provide Limited Service NCOA^{Link} processing.

It is important to note that not all Service Providers can provide the same level of service. Data quantity differs based on license level. Full Service Providers receive the full 48 month data set, while Limited Service Providers receive an 18 month data set. All data fulfillments to Service Providers are provided weekly under direct license from the USPS.

The full NCOA^{Link} file is a consolidated file of move information that on average contains approximately 160 million permanent changes-of-address (COAs) filed with the United States Postal Service (USPS). These COAs are retained on the file for a four-year period from the move-effective date and the file is updated weekly.

Before being added to the NCOA^{Link} file, the **Old** address supplied by the Postal customer must be ZIP + 4 coded. The **New** addresses must be ZIP + 4 coded and validated using the USPS' proprietary database of actual delivery points. (NOTE: The delivery point database does not include NAMES or COA information.) Each delivery point confirmed **New** address is included on the NCOA^{Link} file. If unable to validate the **New** address, the NCOA^{Link} process will indicate that a move exists but will not provide the undeliverable **New** address.

New address information is provided only when a match to the input name and address is attained. The typical profile of the **New** address information contained on the NCOA^{Link} file is as follows:

- 89.68% Forwardable moves containing delivery point confirmed **New** addresses –
New address provided
- 1.19% Moves containing unconfirmed **New** addresses – **New** address not provided
- 7.44% Moved, left no address
- 1.63% PO Box Closed
- 0.06% Foreign moves

When possible, postal customers who move multiple times within the NCOA^{Link} time period are “linked” or “chained” to ensure that the latest address is furnished when an NCOA^{Link} match is attained. This is not always possible if subsequent COAs are not filed in exactly the same manner as a COA filed previously (e.g., name spelling differences or conflicting secondary information).

The provision of change of address information is controlled by strict name and address matching logic. NCOA^{Link} processing will only provide new address information when queried with a specific algorithm of the name and input address from a mailers address list which matches the information on the NCOA^{Link} Product. Data contained in and information returned by NCOA^{Link} is determined by the name and move type (Business, Individual, or Family) indicated on a Postal customer's Change of Address form.

NCOA^{Link}® LIMITED SERVICE PROVIDER LICENSEE PERFORMANCE REQUIREMENTS

The data contained within the NCOA^{Link} Product is comprised of approximately 40% family moves, 54% individual moves, and 6% business moves.

All matches made to the NCOA^{Link} file require a ZIP + 4 coded, parsed input address.

The five types of processing modes are Standard (S); Business and Individual (C); Individual (I); Business (B); and Residential (R).

Standard Processing Mode (S)

- Standard Processing Mode requires inquiries in the following order:
 - Business – Match on business name.
 - Individual – Match on first name, middle name, surname and title required. Gender is checked and nickname possibilities are considered.
 - Family – Match on surname only.
- **Under no circumstances shall there be a “Family” match only option.**

Business and Individual Processing Mode (C)

- The NCOA^{Link} customer may choose to omit all “Family” match inquiries and allow only “Individual” and “Business” matches to be acceptable. This matching process is also known as C Processing Mode.

Individual Processing Mode (I)

- The NCOA^{Link} customer may also choose to omit “Business” match inquiries when processing individual names for mailing lists that contain no business addresses.

Business Processing Mode (B)

- The NCOA^{Link} customer may choose to process for only “Business” matches when processing a “Business-to-Business” mailing list which contains no residential (Individual or Family) addresses.

Residential Processing Mode (R)

- The NCOA^{Link} customer may choose to omit “Business” match inquiries and allow only “Individual” and “Family” matches to be acceptable under Residential Processing Mode. This matching process is also known as R Processing Mode.

The USPS has opted to remove soundex from the matching logic process. Consequently, the USPS has established a process called the “Rules Table.” This process will produce matches that otherwise would not be possible, i.e. JOHNY and JOHNNY, without the risks associated with soundex.

All nickname possibilities are derived from a standard USPS nickname list. In considering alternate presentations of an input name, only reasonable derivatives of the original input name are acceptable. If an input name and address do not match to NCOA^{Link} and alternative queries are attempted, any variations which obtain NCOA^{Link} matches will be provided to the NCOA^{Link} customer for analysis.

When a match or a near match of an input name and address to NCOA^{Link} is identified, a standard NCOA^{Link} return code is provided indicating the type of match made or reason that a match could not be made.

NCOA^{Link}® LIMITED SERVICE PROVIDER LICENSEE PERFORMANCE REQUIREMENTS

The standard output of a USPS NCOA^{Link} process is:

- a) Each original unaltered input name and address as it was presented.
- b) The standardized input address appended with the correct ZIP + 4/DPC, other postal values and any other intelligence flags or footnotes that result from the CASS™ processing segment.
- c) For each mailing address for which there is a match to the NCOA^{Link} Product, a standardized new address with 11-digit Delivery Point Barcode (DPBC) and standard return codes.
- d) When a match is made, the following elements must be returned: the move effective date, the specific name and address utilized in the query that obtained the match, and the move type. The move type is determined by the Interface based on the specific name inquiry utilized to obtain the match.
- e) For each mailing address for which there is not a match to the NCOA^{Link} Product, the Interface shall return all elements as appropriate under items a and b as well as any standard return codes as may be appropriate.
- f) The urbanization name information, when applicable.
- g) The carrier route information for new (updated) addresses.
- h) DPV results for the input address, if requested.
- i) LACS^{Link} results, if requested.
- j) Suite^{Link} results, if requested.
- k) Processing summary report containing information to identify the specific list and the statistics resulting from the NCOA^{Link} process performed on the list.

NOTE: Full Service Providers are required to offer DPV, LACS^{Link} and Suite^{Link} processing. These product offerings are optional for Limited Service Providers.

The presentation of name order is established using a pre-process before querying the NCOA^{Link} database. However, there are no restrictions on using a process to interchange the name order to yield the best possible results using the NCOA^{Link} database. It is ultimately the responsibility of the Mailer Owner working with the Licensee to determine the name order presentation correctly.

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**NCOA^{Link}® LIMITED SERVICE PROVIDER
LICENSEE PERFORMANCE REQUIREMENTS**

The following trademarks are owned by the United States Postal Service®: CASS, DPV, LACS^{Link}, NCOA^{Link}, Suite^{Link}, United States Postal Service, USPS and ZIP + 4.

**NCOA^{Link}® LIMITED SERVICE PROVIDER
LICENSEE PERFORMANCE REQUIREMENTS**

**Full and Limited Service Provider with ANK^{Link}®
Required Text Document
For Combined PAF Use Only**

<<Full Service Provider>> is a non-exclusive Licensee of the USPS® (United States Postal Service®) to provide Full Service NCOA^{Link} processing, ZIP + 4® Coding, DPV® LACS^{Link}® and Suite^{Link}®. <<Limited Service Provider>> is a non-exclusive Licensee of the USPS to provide Limited Service NCOA^{Link} processing.

It is important to note that not all Service Providers can provide the same level of service. Data quantity differs based on license level. Full Service Providers receive the full 48 month data set, while Limited Service Providers receive an 18 month data set. All data fulfillments to Service Providers are provided weekly under direct license from the USPS.

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New address provided
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The provision of change of address information is controlled by strict name and address matching logic. NCOA^{Link} processing will only provide new address information when queried with a specific algorithm of the name and input address from a mailers address list which matches the information on the NCOA^{Link} Product. Data contained in and information returned by NCOA^{Link} is determined by the name and move type (Business, Individual, or Family) indicated on a Postal customer's Change of Address form.

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The data contained within the NCOA^{Link} Product is comprised of approximately 40% family moves, 54% individual moves, and 6% business moves.

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The five types of processing modes are Standard (S); Business and Individual (C); Individual (I); Business (B); and Residential (R).

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- The NCOA^{Link} customer may choose to omit all “Family” match inquiries and allow only “Individual” and “Business” matches to be acceptable. This matching process is also known as C Processing Mode.

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- The NCOA^{Link} customer may also choose to omit “Business” match inquiries when processing individual names for mailing lists that contain no business addresses.

Business Processing Mode (B)

- The NCOA^{Link} customer may choose to process for only “Business” matches when processing a “Business-to-Business” mailing list which contains no residential (Individual or Family) addresses.

Residential Processing Mode (R)

- The NCOA^{Link} customer may choose to omit “Business” match inquiries and allow only “Individual” and “Family” matches to be acceptable under Residential Processing Mode. This matching process is also known as R Processing Mode.

The USPS has opted to remove soundex from the matching logic process. Consequently, the USPS has established a process called the “Rules Table.” This process will produce matches that otherwise would not be possible, i.e. JOHNY and JOHNNY, without the risks associated with soundex.

All nickname possibilities are derived from a standard USPS nickname list. In considering alternate presentations of an input name, only reasonable derivatives of the original input name are acceptable. If an input name and address do not match to NCOA^{Link} and alternative queries are attempted, any variations which obtain NCOA^{Link} matches will be provided to the NCOA^{Link} customer for analysis.

When a match or a near match of an input name and address to NCOA^{Link} is identified, a standard NCOA^{Link} return code is provided indicating the type of match made or reason that a match could not be made.

NCOA^{Link}® LIMITED SERVICE PROVIDER LICENSEE PERFORMANCE REQUIREMENTS

The standard output of a USPS NCOA^{Link} process is:

- a) Each original unaltered input name and address as it was presented.
- b) The standardized input address appended with the correct ZIP + 4/DPC, other postal values and any other intelligence flags or footnotes that result from the CASS™ processing segment.
- c) For each mailing address for which there is a match to the NCOA^{Link} Product, a standardized new address with 11-digit Delivery Point Barcode (DPBC) and standard return codes.
- d) When a match is made, the following elements must be returned: the move effective date, the specific name and address utilized in the query that obtained the match, and the move type. The move type is determined by the Interface based on the specific name inquiry utilized to obtain the match.
- e) For each mailing address for which there is not a match to the NCOA^{Link} Product, the Interface shall return all elements as appropriate under items a and b as well as any standard return codes as may be appropriate.
- f) The urbanization name information, when applicable.
- g) The carrier route information for new (updated) addresses.
- h) DPV results for the input address, if requested.
- i) LACS^{Link} results, if requested.
- j) Suite^{Link} results, if requested.
- k) Processing summary report containing information to identify the specific list and the statistics resulting from the NCOA^{Link} process performed on the list.

NOTE: Full Service Providers are required to offer DPV, LACS^{Link} and Suite^{Link} processing. These product offerings are optional for Limited Service Providers.

The presentation of name order is established using a pre-process before querying the NCOA^{Link} database. However, there are no restrictions on using a process to interchange the name order to yield the best possible results using the NCOA^{Link} database. It is ultimately the responsibility of the Mailer Owner working with the Licensee to determine the name order presentation correctly.

Although every record must be returned, the format of the records returned by a Service Provider to their clients is determined by a separate agreement between the processor and the customer.

NCOA^{Link} processing has the potential to reduce returned mail, yet the USPS does not make any guarantees, express or implied, on the reduction of such mail. Thus any costs associated with returned mail are the Licensees' and/or their customers' sole responsibility.

An NCOA^{Link} customer with questions about the specific results returned from an NCOA^{Link} process must first contact the processor for explanation and resolution.

Prior to the processing of NCOA^{Link} data, every customer must have completed and returned to their NCOA^{Link} Licensee the "NCOA^{Link} PROCESSING ACKNOWLEDGEMENT FORM" provided to them by their Licensee or Agent. It is inappropriate to misrepresent any of the information on the form. Punitive action will be taken by the USPS if the customer, agent or licensee is found to have knowingly supplied false information. Depending on the severity of the offense, actions may include litigious or even criminal charges being brought against the offender.

NCOA^{Link}® LIMITED SERVICE PROVIDER LICENSEE PERFORMANCE REQUIREMENTS

The ANK^{Link} option is available through Limited Service Provider Licensees to enable mailers to make informed choices regarding a specific customer contact. If the data indicates a move, the mailer may choose to suppress the record from their list or attempt to determine the actual new address by engaging the services of an NCOA^{Link} Full Service Provider (FSP) Licensee.

Mailers choosing to engage the services of an FSP Licensee may submit only those ANK^{Link} matches for which they need additional processing provided that:

- 5) The mailer informs the FSP Licensee that the list is derived from a prior ANK^{Link} process.
- 6) The list submitted to the FSP for processing meets the mailing list requirement of at least 100 unique names and addresses.
- 7) The final results are incorporated back into the original list.
- 8) The records separated for processing are not used to create a derivative product.

The following trademarks are owned by the United States Postal Service®: ANK^{Link}, CASS, DPV, LACS^{Link}, NCOA^{Link}, Suite^{Link}, United States Postal Service, USPS and ZIP + 4.

**NCOA^{Link}® LIMITED SERVICE PROVIDER
LICENSEE PERFORMANCE REQUIREMENTS
Exhibit H
Report File Layouts**

The report file layouts are available on the USPS PostalPro Website at:
https://postalpro.usps.com/ncoalink_rpts_mstrfile_description.

The layout document will contain the current requirements and future requirements when applicable.

For all report files:

Customer Service Log Report Notes

- All numeric fields are right justified, zero filled.
- All alphanumeric fields are left justified, spaced filled.
- This file shall be submitted in standard ASCII text format and electronically transmitted to the NCSC. The file shall be named using "C," the 4-character code assigned by the NCSC, the 1-character code for the month and the year with an extension of DAT. (e.g. CNAAC02.DAT)

Processing Acknowledgment Form Report Notes

- All numeric fields are right justified, zero filled.
- All alphanumeric fields are left justified, spaced filled.
- This file shall be submitted in standard ASCII text format and electronically transmitted to the NCSC. The file shall be named using "P," the 4-character code assigned by the NCSC, the 1-character code for the month and the year with an extension of DAT. (e.g. PNAAC02.DAT)
- A single PAF may be completed to cover processing for all lists submitted by the list owner provided that the officer signing the document has the authority to do so for each separate list. If multiple lists are covered by a single PAF, Licensee must record "MULTIPLE" in the space provided for the PAF ID on the pre-printed PAF. When "MULTIPLE" appears as the PAF ID, an itemization of the list names and corresponding PAF IDs assigned to each must be recorded on the back of the PAF.
- All PAF information may be maintained in a single dataset within Licensee's system. At the time of reporting, Licensee must provide a single record of the PAF information for each unique PAF ID which appears in the Customer Service Log for the corresponding time period. A second record for a PAF ID will be necessary only if the list is processed before and after PAF renewal during the month in which that PAF is renewed.

Broker-Agent/List Administrator Report Notes

- All numeric fields are right justified, zero filled.
- All alphanumeric fields are left justified, spaced filled.
- This file shall be submitted in standard ASCII text format and electronically transmitted to the NCSC. The file shall be named using "B," the 4-character code assigned by the NCSC, the 1-character code for the month and the year with an extension of DAT. (e.g. BNAAAC02.DAT)
- A Broker/Agent or List Administrator representative must sign the PAF of each of its customers. All information on these third parties may be maintained in a single dataset within Licensee's system. At the time of reporting, Licensee must provide a single record of the third party information for each unique ID which appears in the corresponding PAF Information Log.
- A Broker/Agent is defined as an external third party who generates business for Licensee. The Broker/Agent may or may not actually handle the mailer's lists for processes other than NCOA^{Link}. The Broker/Agent does not perform any address updates for the mailer.
- A List Administrator is defined as a third party who maintains the database(s) of a mailing list owner. All address updates are performed by the List Administrator on behalf of the list owner. In instances where a list owner outsources maintenance of its data to Licensee, Licensee must be listed on the PAF and recorded in the Log files as the List Administrator.

APPENDIX A
NCOA^{Link}® LIMITED SERVICE PROVIDER
ANK^{Link}® LICENSEE PERFORMANCE REQUIREMENTS

Introduction

The United States Postal Service® (USPS®) has developed an extended option to the 18 month version of NCOA^{Link} called ANK^{Link}. The 18-month NCOA^{Link} Product provides change-of-address data for moves that occurred in the past eighteen months. The initial version of ANK^{Link} will enable NCOA^{Link} Licensees to optionally acquire an additional thirty months of data. This data will not reveal the new address, but will inform mailers of customer moves that occurred in months 19 through 48, along with the date that the move took place.

1. General Requirements

- 1.1 ANK^{Link} will be available only to users of the 18-month NCOA^{Link} Product and will be a component of that product.
- 1.2 To initiate ANK^{Link}, a modified Certification process will be used for existing NCOA^{Link} Limited Service Provider Licensees:
 - a. Resubmit the Application from the Certification Procedures package indicating ANK^{Link} will be a part of Licensee's offerings.
 - b. Obtain an Interface Product, through development or purchase, which has been certified to perform ANK^{Link} processing,
 - c. Request and pass a Stage II NCOA^{Link} with ANK^{Link} certification test when ANK^{Link} Interface is completed.
- 1.3 NCOA^{Link} with ANK^{Link} application and certification procedures shall be incorporated into the NCOA^{Link} application and certification procedures for Limited Service Provider applicants.

2. Specific Requirements

- 2.1 The sole purpose of the ANK^{Link} option is to enable mailers to make informed choices regarding a specific customer contact. If the data indicates a move, the mailer may choose to suppress the record from their list or attempt to determine the actual new address by engaging the services of an NCOA^{Link} Full Service Provider Licensee.
- 2.2 All laws, rules and restrictions governing the use of NCOA^{Link} data pertain with regards to ANK^{Link} data. Information derived from an NCOA^{Link} with ANK^{Link} process shall not be utilized in any way inconsistent with the terms and conditions set forth in the NCOA^{Link} License Agreements.

APPENDIX A
NCOA^{Link}® LIMITED SERVICE PROVIDER
ANK^{Link}® LICENSEE PERFORMANCE REQUIREMENTS

3. Standards of Performance

- 3.1 NCOA^{Link} Licensees must conform to the latest published version of the NCOA^{Link} Licensee Performance Requirements. Any changes will be published at:
<https://postalpro.usps.com/mailing-and-shipping-services/NCOALink>.
- 3.2 NCOA^{Link} with ANK^{Link} interface will be tested with an NCOA^{Link} Stage II test file in accordance with the NCOA^{Link} license.

4. Reports and Administrative Requirements

- 4.1 NCOA^{Link} Licensees exercising the ANK^{Link} option will provide USPS with a monthly electronic statistics report. The statistical information required for ANK^{Link} is incorporated into the NCOA^{Link} Customer Service Log.

APPENDIX B
NCOA^{Link}® LIMITED SERVICE PROVIDER
LICENSEE PERFORMANCE REQUIREMENTS
MAIL PROCESSING EQUIPMENT (MPE)
WIDE AREA NETWORK (WAN) METHOD

NCOA^{Link} MPE Wide Area Network Method

USPS has authorized the use of an NCOA^{Link} Mailpiece Processing Equipment (MPE) Wide Area Network (WAN) Method to prepare and update address information for customers' existing mailpieces for USPS acceptance and delivery. Mailers will be able to provide the following mail processing services:

- New address when a name and old address match the change-of-address file
- Detection of undeliverable addresses due to change of address

The NCOA^{Link} MPE WAN Method allows the use of a MASSTM certified Multiline Optical Character Reader (MLOCR) to electronically lift address information from a mailpiece so it can be standardized and processed against the NCOA^{Link} database using a WAN connection to a remote server containing the NCOA^{Link} data.

How the process works

The MLOCR reads the address information from the mailpiece using a specific vision system and lifts the information from the mailpiece, translating it into a file format specific to the vision system using the MPE WAN Product. The information in the image is then processed through CASS Certified software, which standardizes the address information. Once the image is processed through CASS Certified software, fuzzy logic is applied to grade the translation of the image and provide various alternatives for the address lookup. The fuzzy logic return is then parsed and encrypted by the MPE WAN Product and sent to a remote server housing the NCOA^{Link} data. The address is processed against the NCOA^{Link} data. Address updates are returned in an encrypted format and reprocessed through the MPE WAN Product. The updated address information is sent to the MLOCR for spraying onto the mailpiece.

1. General Requirements

- 1.1. Any Mailer wishing to utilize the NCOA^{Link} MPE WAN Method must first successfully complete the certification process prior to using the NCOA^{Link} MPE WAN Method. Each MASSTM certified MLOCR using the NCOA^{Link} MPE WAN Product must be

APPENDIX B
NCOA^{Link}® LIMITED SERVICE PROVIDER
LICENSEE PERFORMANCE REQUIREMENTS
MAIL PROCESSING EQUIPMENT (MPE)
WIDE AREA NETWORK (WAN) METHOD

reviewed, tested and approved for use at Mailer's site(s) by USPS prior to any actual NCOA^{Link} MPE WAN processing occurring in a production environment to ensure all certification requirements are met. After reviewing and testing, USPS will provide Mailer with written approval of their certification for use of the NCOA^{Link} MPE WAN Method.

- 1.2. The USPS has the right to audit and inspect Mailer's NCOA^{Link} MPE WAN processes and procedures without prior notice.

2. Specific Requirements

- 2.1. Mailer must use a USPS certified NCOA^{Link} MPE WAN Product installed on a MASS certified MLOCR to access the remote NCOA^{Link} server.
- 2.2. If Mailer makes changes to their existing MASS certified hardware system(s), including changing NCOA^{Link} service providers and/or hardware manufacturers, moving, relocating, upgrading, reassembling, or changes in ownership, both MASS and NCOA^{Link} MPE WAN recertification are required.

3. MPE 00 Table

- 3.1. The MPE 00 table is a cumulative file containing all of the ZIP + 4 codes in an 18-month period that have an active COA on file.
- 3.2. This table will be distributed via EPF and must be synchronized with the weekly NCOA^{Link} data updates.
- 3.3. The MPE 00 table cannot be used in a list processing environment. It can only be used in the following environments:
 - NCOA^{Link} WAN (cloud)
 - NCOA^{Link} Limited Service (installed on MLOCRs)
 - MPE (installed on MLOCRs)
- 3.4. To use this table, no additional testing outside of normal recertification is required.
- 3.5. No additional reporting outside of the standard CSL and PAF reports is required.
- 3.6. The NCOA^{Link} licensee shall encapsulate the 00 table as received from the USPS into a secure form subject to approval by USPS. Licensee must ensure the 00 table is distributed in the secure form that will only allow interaction with certified NCOA^{Link} software.

APPENDIX B
NCOA^{Link}® LIMITED SERVICE PROVIDER
LICENSEE PERFORMANCE REQUIREMENTS
MAIL PROCESSING EQUIPMENT (MPE)
WIDE AREA NETWORK (WAN) METHOD

- 3.6.1. Licensee's NCOA^{Link} integrated software product in its secure form shall render the 00 table unusable to unauthorized access by customers, other software developers, or independent use.

APPENDIX C
NCOA^{Link}® LIMITED SERVICE PROVIDER
LICENSEE PERFORMANCE REQUIREMENTS

ALTERNATIVE PAF RENEWAL POLICY

The USPS® has modified the existing NCOA^{Link} Processing Acknowledgement Form (PAF) renewal policy to make the process more effective for both licensees and their customers. The Alternative PAF Renewal policy serves as an option to the existing PAF renewal policy. The two models enable licensees to choose an option that best suits their business needs.

The purpose of the Alternative PAF Renewal policy is to assist Licensees in streamlining their processes of maintaining an accurate account of their customers, while adhering to the guidelines set forth in the NCOA^{Link} license agreements. This policy also enables the USPS and mailing industry to continue to comply with the Privacy Act of 1974.

The Alternative PAF Renewal option is not applicable to foreign PAFs since required information for foreign processing often changes for each request.

Existing Policy

- Prior to customers' anniversary dates, Licensees will notify their customers that their current PAFs are nearing expiration and they will need to complete new PAFs, even if contact or address information has not changed.
- Future NCOA^{Link} processing cannot be performed if the existing PAFs expire before new ones are received.
- Copies of the PAFs are maintained and kept on file for a period of six (6) years from the date of execution.

Alternative Policy

- Prior to customers' anniversary dates, Licensees will send PAF renewal notifications via email, fax, US mail, or website click-through acknowledgement requesting customers to review their existing PAFs and provide any changes to their contact or address information.
- If there are no changes, customers do not have to complete a new PAF. However if any information has changed, customers will need to update their existing PAFs and resubmit them to the Licensee. In cases where the person who completed the original PAF is no longer with the company or is no longer the List Custodian, a new PAF must be completed and submitted to the Licensee prior to NCOA^{Link} processing.

APPENDIX C
NCOA^{Link®} LIMITED SERVICE PROVIDER
LICENSEE PERFORMANCE REQUIREMENTS

ALTERNATIVE PAF RENEWAL POLICY

- A copy of the original PAF and the subsequent annual email, fax or letter sent via US mail should be kept in Licensees' files for a minimum of six (6) years as proof of the annual request for updates to PAF information for their customers.
 - If Licensees choose to send email notifications, a generic email may be sent to many customers at the same time.
 - The email, fax or copy of the letter will be retained for a minimum of six (6) years as proof that all customers were contacted unless customers provide the Licensees with updated information. In these cases, the revised PAF will replace the existing PAF on file.
 - If customers fail to respond to Licenses' annual emails, faxes or letters requesting customers to review their existing PAFs, Licensees should accept that there are no changes to existing PAF and it should remain current and be retained (even beyond six years) until there is a change.
- It is the responsibility of the Licensee to ensure a completed and updated PAF is maintained and on file for each of their customers.